

MEMO ENDORSED



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
NEW YORK REGIONAL OFFICE
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USDC SDNY
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August 31, 2018

VIA ECF

Hon. Valerie E. Caproni
United States District Judge
United States Courthouse
40 Foley Square
New York, NY 10007

Re: SEC v. Davis, et al., (14-CV-1528) (VEC) (S.D.N.Y.)

Dear Judge Caproni:

Enclosed for your consideration are consents and proposed Final Judgments as to defendants Francis Canellas, Steven H. Davis and Thomas Mullikin. The settlements would fully resolve the litigation against these defendants, and leave outstanding only the case against defendant Joel Sanders, whose partial settlement with the Commission is contingent upon his pending criminal appeal in state court.

A copy of the consents and proposed Judgments have been emailed to the Orders and Judgments mailbox, pursuant to ECF guidelines, and Microsoft Word versions have been emailed to your Honor's chambers. If the proposed Judgments meet with the approval of the Court, we respectfully request that they be entered as soon as possible. Please feel free to call me if you have any questions or need additional information.

Respectfully submitted,

s/ William Finkel
William Finkel
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Enclosures

cc: All Defense Counsel (via ECF)

By separate orders today, the Court will sign Final Judgments for Defendants Davis and Mullikin. The Clerk is respectfully directed to TERMINATE these Defendants from the case.

The Court will sign a Final Judgment for Defendant Canellas once Plaintiff submits a proposed judgment on ECF.

This case remains STAYED as to Defendant Sanders.

SO ORDERED.

 9/5/2018

HON. VALERIE CAPRONI
UNITED STATES DISTRICT JUDGE